ORTA Survey

FY2025 Questionnaire on Federal Offices of Research and Technology Applications/Technology Transfer Offices

Purpose/Introduction

The purpose of this questionnaire is to understand the organization and operation of technology transfer offices within the Federal government. NIST, using its own economic analysis capacity as part of the Interagency Workgroup for Technology Transfer (IAWGTT), has previously studied and reported on the organizational and operational characteristics of Federal technology transfer offices. This questionnaire is an update on those previous efforts. This update assists NIST in fulfilling our statutory obligation of furnishing advice and assistance to our Federal partners by providing more current information to Federal ORTAs/TTOs. Additionally, this questionnaire will help understand current activities, trends, and potential impacts from changes in policy. This survey includes revisions to the previous survey to address questions and feedback that NIST has received from our interagency partners. Please respond to the survey questions to the best of your ability. For questions that ask about FY 2024 data, please provide FY 2024 data if available; if FY 2024 data are not yet available then please respond with data from the most recent fiscal year for which data are available. The glossary below provides definitions for all bolded terms.

Please provide the name of the **Major Department**, **Major Component**, and **Sub Component** (as applicable) you represent. *e.g. for John Bittman: Department of Commerce, National Institute of Standards and Technology, Innovation and Industry Services.*

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Please provide the name of your **Office** within your **Organization**. *e.g. for John Bittman: Technology Partnerships Office*

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Please provide the name of the point of contact for your office.

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Please provide the job title of your office's point of contact.

_____

Please enter the email address of your office's point of contact.

_____

1. Which of the following technology transfer roles does your Office fulfill? (Please select all that apply)

☐ **Technology Transfer Policy and Coordination** at **Major Department** level for subordinate **Offices** (1)

☐ **Technology Transfer Policy and Coordination** at **Major Component** level for subordinate **Offices** (2)

☐ **Technology Transfer Policy and Coordination** at **Sub Component** level for subordinate **Offices** (3)

☐ Perform **Traditional and/or Non-traditional Technology Transfer Activities** for **Major Department** level (4)

☐ Perform **Traditional and/or Non-traditional Technology Transfer Activities** for **Major Component** level (5)

☐ Perform **Traditional and/or Non-traditional Technology Transfer Activities** for **Sub Component** level (6)

☐ Perform **Traditional and/or Non-traditional Technology Transfer Activities** for <u>below</u> **Sub Component** level (7)

☐ Other (please specify) (8)

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2. Which of the following best describes the placement of your **Office** within your **Organization**?

○ **Director's Office** (1)

○ **Finance/Acquisitions** (2)

○ **General Counsel/Legal** (3)

○ **Other Internal Support** (4)

○ R&D (5)

○ Other (please specify) (6)

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3. In what year was your **Office** formed, *i.e., at least 0.5 FTE dedicated to technology transfer*?

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4. Which best describes the management structure of the **laboratory/ies** for which your **Office** performs **technology transfer policy and coordination and/or traditional and/or non-traditional technology transfer activities**?

○ Only Government-Owned, Government-Operated (GOGO) (1)

○ Only Government-Owned, Contractor-Operated (GOCO) / Federally Funded Research and Development Centers (FFRDC) (2)

○ Both GOGO and GOCO/FFRDC (3)

○ Other (please specify) (4)

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5. Does your **Office** perform **traditional and/or non-traditional technology transfer activities** for **Sub Components/Major Components/Major Departments** outside your own? If yes, please identify such **Major Departments**, **Major Components**, **Sub Components**, and/or

elements below **Sub Components** for which your **Office** performs **traditional and/or non-traditional technology transfer activities** (as applicable). This may mean organizations outside of the regular reporting structure or organizations with separate appropriations.

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6. How many **Direct employees** work in your **Office,** *expressed as FTEs assigned*?

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7. How many **Indirect employees** work in your **Office,** *expressed as FTEs assigned*?

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8. How many **Direct employees** are dedicated to **traditional technology transfer activities**, expressed as FTEs assigned?

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9. How many **Indirect employees** are dedicated to **traditional technology transfer activities**, *expressed as FTEs assigned*?

_____

10. Does your **office** outsource any **traditional or non-traditional technology transfer activities** to another entity (e.g. Miltech, Techlink)?

  ○ Yes (if yes, which activities) (4)

  _____

  ○ No (5)

11. What **non-traditional technology transfer activities** is your **Office** responsible for? *This may include SBIR, Bayh-Dole Compliance/Enforcement, Invention Auditing and Compliance, or other activities.*

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The next set of questions asks about FY 2024. If you do not have data from FY 2024 yet, please respond with the most recent fiscal year data available.

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12. To the nearest $50 thousand, what is your **Office**'s total FY 2024 expenditures?

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13. To the nearest $50 thousand, what is the size of your **Office**'s FY 2024 expenditures by activity listed?

○ **Direct and Indirect** employees dedicated to **Traditional and/or Non-Traditional Technology Transfer Activities** in your **Office**   (1)

_____

○ External research, analysis, and/or marketing services   (2)

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○ Patent filing, prosecution, and maintenance for your **Office**   (3)

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○ Activities other than **traditional technology transfer** (4)

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14. In FY 2024, how were your **traditional technology transfer activities** in your **Office** funded? (please indicate all that apply and approximate percentages of total funding by category)

☐   Royalties (1) _____

☐   Overhead (e.g. a percentage of funds) (2)
_____

☐   Appropriated Funds (3)
_____

☐   Superior **Office** within **Major Department** (4)
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☐   Subordinate **Office** within **Major Department** (5)
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☐   External **Major Department** (6)
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☐   Other (please specify) (7)
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15. In FY 2024, how many invention disclosures did your **Office** receive?

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16. In FY 2024, how many provisional patent applications did your **Office** file?

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17. In FY 2024, how many non-provisional patent applications did your **Office** file?

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18. In FY 2024, how many patents were issued based on filings from your **Office?**

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19. In FY 2024, how many **licenses** did your **Office** execute?

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20. In FY 2024, how many traditional **CRADAs** did your **Office** execute?

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21. In FY 2024, how many **MTAs** did your **Office** execute?

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22. In FY 2024, how many **DTAs** did your **Office** execute?

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23. In FY 2024, how many other **RCAs** did your **Office** execute?

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24a. The questions in the following matrix pertain to your **Office**'s primary responsibilities regarding patents.

Which of the following describes your **Office's** primary responsibilities, or authorities, regarding patents? (Please select all that apply)

	Provisional (1)	PCT (2)	Non-Provisional US (3)	Foreign (4)	None of the above (5)
My **Office** <u>approves</u> the following for filing: (1)	☐	☐	☐	☐	☐
My **Office** <u>drafts</u> the following: (2)	☐	☐	☐	☐	☐
My **Office** <u>files </u>the following: (3)	☐	☐	☐	☐	☐
My **Office** <u>directly performs (not just review/approval) prosecution</u> of the following: (4)	☐	☐	☐	☐	☐
My **Office** <u>approves maintenance/annuity fees</u> for the following: (5)	☐	☐	☐	☐	☐

24b. If your **Office'**s primary responsibilities were not found in questions 24a, please specify your **Office**'s primary responsibilities regarding patents here:

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25. If applicable, describe the factors your **Office** considers when deciding whether to file a Non-Provisional Patent Application. *e.g. do you consider patentability, marketability, agency mission, etc.*

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26. For general patenting situations where there is no joint-owner, does your **Office** receive funding for patent filing, prosecution, and/or maintenance from other sources? (Please select all that apply)

- [ ] Research Lab (or Research Division) (1)

- [ ] **Director's Office** (2)

- [ ] **General Counsel/Legal** (3)

- [ ] your **Office** (6)

- [ ] Other (please specify) (4)

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- [ ] N/A (5)

27. For the patent filing by/for your **Office**, do you use internal or external patent attorneys/agents? *Note: If your **Office** is Federal, please respond internal if your attorneys/agents are employed by an organization at/or below your **Major Department** level. If your **Office** is Federal, please respond external if your attorneys/agents are employed by a contractor. If your **Office** is a GOCO, please respond internal if your attorneys/agents are employed by the same contractor operator. If your **Office** is a GOCO, please respond external if your attorneys/agents are employed by a separate contractor.*

- ○ Internal (1)

- ○ External (2)

- ○ Both (3)

- ○ Other (please specify) (5)

  _____

- ○ N/A (4)

28. If you have external patent attorneys/agents, by whom are they contracted?

○ your **Office** (1)

○ **General Counsel/Legal** (2)

○ Other (please specify) (4)

_____

○ N/A (3)

29. To whom do the patent attorneys/agents report?

○ your **Office** (1)

○ **General Counsel/Legal** (2)

○ Both (3)

○ Other (please specify) (5)

_____

○ N/A (4)

30. Where does your **Office** obtain initial determinations of invention ownership rights?

◯ your **Office** **(1)**

◯ your **Office's** direct chain of command (2)

◯ Outside of your **Office's** direct chain of command (3)

◯ N/A (4)

◯ Other (please specify) (5)

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31. In general, where does your **Office** obtain final approval of **CRADAs**?

◯ your **Office** (1)

◯ your **Office's** direct chain of command (2)

◯ Outside of your **Office's** direct chain of command (3)

◯ N/A (4)

◯ Other (please specify) (5)

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32. Where does your **Office** obtain final approval of **MTAs**?

○ your **Office** (1)

○ your **Office's** direct chain of command (2)

○ Outside of your **Office's** direct chain of command (3)

○ N/A (4)

○ Other (please specify) (5)

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33. Does your **Office** negotiate **licenses**?

○ Yes (1)

○ No (2)

○ Other (please specify) (3)

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34. Where does your **Office** obtain final approval of **licenses**?

○ your **Office** (1)

○ your **Office's** direct chain of command (2)

○ Outside of your **Office's** direct chain of command (3)

○ N/A (4)

○ Other (please specify) (5)

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35. If applicable, describe your researchers' involvement throughout the licensing process. *e.g. identifying prospective partners, developing milestones, negotiating terms, etc.*

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36. What methods of market analysis (if any) does your **Office** use to determine your technologies' potential? (Please list specific sources, platforms, databases, networks, partners, etc.)

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37. What kind of marketing avenues does your **Office** use (please select all that apply)?

☐   Federal Business Opportunity / Federal Register (1)

☐   Trade Shows (2)

☐   Agency Website (3)

☐   Direct Marketing (4)

☐   Other (please specify) (6)
            _____

☐   N/A (5)

38. For **CRADAs**, at what Technology Readiness Level (TRL) does your research generally operate? (According to NASA's Technology Readiness Levels: https://esto.nasa.gov/trl/) Please provide a range and mode to the best of your ability.

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39. For Patents, at what TRL does your research generally operate? (According to NASA's Technology Readiness Levels https://esto.nasa.gov/trl/) Please provide a range and mode to the best of your ability.

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40. Which of the following best describes how your **Office** distributes royalties to inventors? (Please select all that apply)

☐ Follows minimum statutory requirement (1)

☐ Flat percentage (please specify percentage) (2)

_____

☐ Scaled percentage (please specify ranges) (3)

_____

☐ Other (please specify) (4)

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41. What other forms of compensation does your **Organization** provide to researchers who develop technologies that are transferred from their **laboratories** outside of royalties? (Please select all that apply)

☐ Awards (1)

☐ Promotions (2)

☐ Bonuses (3)

☐ None (4)

☐ Other (please specify) (5)

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42. Where does your **Office** distribute the remaining royalties after the inventors get their shares? (Please select all that apply and provide approximate percentages to the best of your ability)

☐ Corresponding Lab (1)

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☐ ORTA/TTO (2) _____

☐ Central Research Fund (3)

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☐ Central Operations/Management Fund (4)

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☐ Other (please specify) (5)

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43. In future ORTA surveys, what information regarding the organizational and operational characteristics of Federal technology transfer offices would your **Office** find valuable?

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